*Application No. 09/853,986*

## AMENDMENTS TO THE CLAIMS:

This listing of claims will replace all prior versions, and listings, of claims in the application:

<u>Listing of Claims:</u>

1.  (Currently Amended) A data processing system for managing broker transaction information in compliance with governmental regulations, comprising:

    (a) computer processor means for processing data;

    (b) storage means for storing said data <u>in a main database</u> ~~on a storage medium~~;

    (c) communication means for transmitting data in a secure environment to and from various remote locations<u>, and storing said data in said main database</u> ; and

    (d) <u>first</u> computer software means for creating trade data concerning ~~a particular trade~~ <u>particular trades</u> in the form of a trade ~~record~~<u>records to be executed and not yet settled</u>, ~~reviewing said trade data and approving/disapproving the trade record, and maintaining security measures for said data processing system to prevent unauthorized access and use of said trade data~~ <u>and means for monitoring the modification of trade data in respective trade records which are created by said first computer software means and stored in said main database, said means for monitoring including means for displaying trade record data in the form of an audit identifying users who have modified trade records;</u>

    <u>(e)</u> <u>second computer software means for reviewing said trade data from said first computer software means, and for approving/disapproving of the trade records to be executed and not yet settled;</u>

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(f)    third computer software means for maintaining security measures for said data processing system to prevent unauthorized access and use of said trade data; and

(g)    means for monitoring log-ins to said data processing system.

2.    (Currently Amended) A data processing system, as claimed in Claim 1, ~~wherein said computer software means further comprises~~ further including:

means for inputting and storing system information on said storage means.

3-4.    (Canceled)

5.    (Original) A data processing system, as claimed in Claim 1, further comprising:

means for monitoring the activity of a particular broker representative who enters trade data through said computer software means.

6.    (Original) A data processing system, as claimed in Claim 1, further including:

means for outputting information regarding a particular trade.

7.    (Original) A data processing system, as claimed in Claim 1, further including:

means for creating and outputting daily trade blotter information.

8.    (Original) A data processing system, as claimed in Claim 1, further including:

means for creating and outputting checks/securities blotters.

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9.     (Original) A data processing system, as claimed in Claim 1, further including:

means for creating and outputting buy and sell tickets.


10.     (Original) A data processing system, as claimed in Claim 1, further including:

means for creating and outputting client activity logs.


11-12. (Canceled)


13.     (Currently Amended) A method of managing and processing broker transaction

data, said method comprising the steps of:

5          inputting broker transaction data by a computer logged onto a website linked to a data

processing system including a main database, said broker transaction data reflective of a trade of

a security;

recording the transaction data on the main database in the form of an original trade record

to be executed and not yet settled;

10          posting the original trade record on a user screen for availability by a branch manager

who then approves/disapproves the original trade record;

posting the approved/disapproved original trade record by the branch manager on the

main database;

posting the approved/rejected original trade record on a user screen for availability by a

15     broker representative; and

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changing an element of data on the original trade record;

recording the change of data in the original trade record on the main database;

creating a display in the form of a comparison audit report showing the original trade

record, and the original trade record as amended with the changed data element; and

20          wherein said method takes place in the data processing system, and said transaction data

and said trade record are manipulated electronically.


14.     (Original) A method, as claimed in Claim 13, wherein:

transfer of the transaction data and the trade record is conducted in a secure environment

by encryption and decryption.


15.     (Canceled)


16.     (Original) A method, as claimed in Claim 13, further including the steps of:

managing a plurality of trade records; and

creating an output reflective of the plurality of trade records in the form of a desired

report.


17.     (Original) A method, as claimed in Claim 16, wherein said desired report is a

daily trade blotter.

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18.    (Original) A method, as claimed in Claim 16, wherein:

said desired report is a check/securities received blotter.

19.    (Original) A method, as claimed in Claim 16, wherein:

said desired report is in the form of a buy and sell ticket.

20.    (Original) A method, as claimed in Claim 16, wherein:

said desired report is in the form of a client activity log.

21.    (Original) A method, as claimed in Claim 16, wherein:

said desired report is in the form of a trade audit report.

22.    (Original) A method, as claimed in Claim 13, further including the steps of:

inputting authentication data to gain authority to access the data processing system

including a password, user ID, and system ID; and

verifying the authentication data to determine access to the data processing system.

23.    (Original) A method, as claimed in Claim 21, further including the step of:

creating an output in the form of a log-ins report reflective of log-ins made to the data

processing system.

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24.    (Original) A method of processing and monitoring broker transaction data in the

form of e-mail messages sent to a broker representative, said method comprising the steps of:

receiving an incoming e-mail message from a party requesting a trade of a security, the e-

mail message being received on a computer linked to a website corresponding to a data

5       processing system;

posting the received e-mail message to a main server computer, and recording the e-mail

message on a main database of the main computer;

posting the e-mail message on a user screen for availability by a branch manager;

signifying approval/rejection of the e-mail message by the branch manager;

10       posting the approved/rejected e-mail message to the main database of the main computer;

recording the status of the approved/rejected e-mail message in the main database;

posting the e-mail message on a user screen for availability by a  broker representative for

review by the broker representative; and

creating an output in the form of a compliance report reflective of rejected e-mail

15      messages.


25.    (Currently Amended) A method, as claimed in Claim 24, wherein:

~~all~~ said posting steps are achieved by secure electronic transmission using encryption and

decryption.

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26.     (Original) A method of processing and monitoring broker transaction data in the form of e-mail messages from a broker representative to a client, said method comprising the steps of:

creating and recording an e-mail message on a main database of a data processing system;

5          posting the e-mail message for review by a branch manager, said posting step including providing a user screen available by the branch manager;

signifying approval/rejection of the e-mail message by the branch manager entering data reflective of the approval/rejection;

posting the approved/rejected e-mail message on the main database;

10         recording the status of the approved/rejected e-mail message on the main database;

posting the e-mail message on a user screen for availability by the broker representative by the broker representative; and

creating an output in the form of a compliance report reflective of rejected e-mail messages.


27.     (Original) A method, as claimed in Claim 26, wherein:

all posting steps are achieved by secure electronic transmission using encryption and decryption.

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28.    (New) A method of managing and processing broker transaction data, said method comprising the steps of:

providing a data processing system including a computer processor means for processing data, storage means including a main server database for storing said data, and communication means for electronically transmitting and receiving data in a secure environment to and from various remote locations;

inputting broker transaction data by means of a first computer software means on a remote computer of the data processing system reflective of a trade of a security to be executed and not yet settled;

forwarding the broker transaction data to a main computer communicating with the main server database;

recording the transaction data on the main server database in the form of an original trade record;

forwarding the original trade record to a second remote computer for review facilitated by a second computer software means to include approval/rejection of the original trade record by a user of the second computer;

returning the original trade record to the main server database including an indication of the approval/rejection by the user of the second computer;

returning the approved/rejected original trade record to the first computer for evaluation by the user of the first computer;

changing an element of data on the original trade record;

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recording the change of data in the original trade record in the main database; and

creating a display in the form of a comparison showing the original trade record, and the

original trade record as amended with the changed data element.

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